

AF/IFW 1764  
Docket No. 3495-7000US3

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): C. KIRKBRIDE, et al.  
Group Art Unit: 1764  
Serial No.: 09/987,932  
Examiner: J. LEUNG  
Filed: November 16, 2001  
For: PROCESS AND APPARATUS FOR CONVERTING OIL SHALE OR TAR SANDS TO OIL

**INFORMATION DISCLOSURE STATEMENT**

Mail Stop \_\_\_\_\_  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to Rule 56, applicant hereby calls the attention of the Patent Office to the references listed on the attached Form PTO 1449.

A. Copy(ies) of these references:

- ☒ are attached.  
☐ were filed in related application U.S. Serial No(s) \_\_\_\_\_, filed \_\_\_\_\_, respectively.  
☐ are not required since the application was filed on or after June 30, 2003, and the disclosed references are U.S. Patents or Publications. see MPEP, 8<sup>th</sup> Edition, Revision No. 2, May 2004, Section 609, Part III A(2)(A).

B. Fees

- ☐ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since:
- ☐ This document is being filed within three (3) months of the filing date of the application
  - ☐ This document is being concurrently filed with the above-identified application
  - ☐ This document is being concurrently filed with an Request for Continued Examination (RCE)
  - ☐ This document is being filed prior to a first Office Action
  - ☐ This document is being filed before the mailing date of a final action or a notice of allowance (where there has been no prior final action), and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e).
- ☐ A fee is due for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the receipt of a first office action but before the mailing date of a final action or a notice of allowance (where there has been no prior final action).
- ☒ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(d), after the mailing date of a final action or a notice of allowance, whichever comes first, but before payment of the issue fee, and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e) and the fee due under 37 C.F.R. §1.17(p) which is enclosed.
- ☒ A check for the requisite fee of \$180 under 37 C.F.R. §§1.17(h) and 1.17(p) is enclosed.

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## C. Certifications

- ☐ I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- ☐ I hereby certify that no item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

## D. Explanation/Translation of Non-English References

- ☐ No explanation of relevancy is required since the attached references are accompanied by ☐ a Search Report ☐ Communication which was cited in a corresponding ☐ PCT or ☐ Foreign counterpart application.
- ☐ For each of the items listed on the attached Form PTO-1449 that is not in the English language, an English language translation of that item or a portion thereof or a concise explanation of the relevance of that item is also enclosed.
- ☐ For each of the items listed on the attached Form PTO-1449 that is not in the English language, a concise explanation of the relevance of that item is incorporated in the specification of the above-identified application.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 13-4503, Order No. 3495-7000US3. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

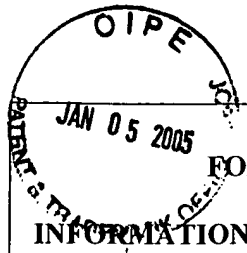
Dated: January 5, 2005

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FORM PTO-1449

**INFORMATION DISCLOSURE CITATION**

Attorney Docket:  
3495-7000US3

Serial No.:  
09/987,932

Applicant:  
C. KIRKBRIDE, et al.

Filing Date:  
November 16, 2001

Group Art Unit:  
1764

**U.S. PATENT DOCUMENTS**

Examiner Initial		Patent Number	Publication Date	Name	Class	Sub-Class	Filing Date
	AA	4,003,821	01/18/77	Weil, et al.			
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

**FOREIGN PATENT DOCUMENTS**

Examiner Initial		Patent Number	Publication Date	Country	Class	Sub-Class	Translation
	AL						<input type="checkbox"/> Yes <input type="checkbox"/> No
	AM						<input type="checkbox"/> Yes <input type="checkbox"/> No
	AN						<input type="checkbox"/> Yes <input type="checkbox"/> No
	AO						<input type="checkbox"/> Yes <input type="checkbox"/> No
	AP						<input type="checkbox"/> Yes <input type="checkbox"/> No

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Papers, etc.)**

	AR	
	AS	
	AT	

Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP §609.  
Draw line through citation if not in conformance and not considered.  
Include copy of this form with next communication to Applicant.